

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/809,025	03/16/2001	Jeffrey Lange	26859.102US01

CONFIRMATION NO. 5585

26853
COVINGTON & BURLING
ATTN: PATENT DOCKETING
1201 PENNSYLVANIA AVENUE, N.W.
WASHINGTON, DC 20004-2401

FORMALITIES LETTER



OC000000006104722

Date Mailed: 05/22/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1236.
 - \$36 for 2 total claims over 20.
 - \$1200 for 15 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2076.

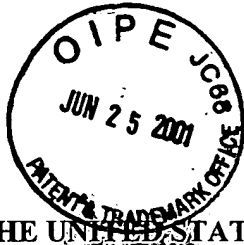
*A copy of this notice **MUST** be returned with the reply.*

Customer Service-Center
Initial Patent Examination Division (703) 308-1202

06/26/2001 SSITHIB1 00000102 09809025

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01 FC:101	710.00 OP
02 FC:103	36.00 OP
03 FC:102	1200.00 OP
04 FC:105	130.00 OP



NSector
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Docket No.: 026859.102-US01
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Jeffrey R. Lange

Application No.: 09/809,025

Group Art Unit: 2812

Filed: March 16, 2001

Examiner: Not Yet Assigned

For: DIGITAL OPTIONS HAVING DEMAND-
BASED, ADJUSTABLE RETURNS, AND
TRADING EXCHANGE THEREFOR

TRANSMITTAL LETTER

Commissioner for Patents
Washington, DC 20231

Dear Sir:

Enclosed are the following items for filing in connection with the above-referenced Patent Application:

1. Response to Notice to File Missing Parts of Application (in duplicate);
2. Copy of the Notice to File Missing Parts of Nonprovisional Application;
3. Replacement Patent Application Initial Information Data Sheet;
4. Fee Transmittal;
5. Declaration for Patent Application;
6. Power of Attorney from Assignee;
7. Certificate Under 37 C.F.R. 3.73(b);
8. Preliminary Amendment;
9. Request for Corrected Official Filing Receipt;

10. Marked-up copy of original Official Filing Receipt;
11. Check No. 281223 for \$2,076 to cover: \$710 basic filing fee; \$1,236 additional claims fee; and \$130 surcharge for late filing of Declaration; and
12. Return receipt postcard.

The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0740, under Docket No. 026859.102-US01. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present application, then such extensions of time are hereby petitioned, and any fees therefore are hereby authorized to be charged to our Deposit Account 50-0740, referencing Docket No. 026859-102-US01. A duplicate copy of this paper is enclosed.

Dated: June 25, 2001

Respectfully submitted,

By

Paul J. Berman

Registration No.: 36,744
COVINGTON & BURLING
1201 Pennsylvania Avenue, N.W.
Washington, DC 20004-2401
(202) 662-6000
Attorneys for Applicant



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Jeffrey R. Lange

Art Unit: 2812

Appl. No.: 09/809,025

Examiner: Unassigned

Filed: March 16, 2001

Attorney Docket: 026859.102-US01

For: DIGITAL OPTIONS HAVING
DEMAND-BASED, ADJUSTABLE
RETURNS, AND TRADING
EXCHANGE THEREFOR

**Response to Notice to File
Missing Parts of Application**

Commissioner for Patents
Washington, D.C. 20231
ATTN: Box Missing Parts

Sir:

In response to the **Notice to File Missing Parts of Application--Filing Date
Granted** dated May 22, 2001, Applicant submits the following documents for appropriate
action by the U.S. Patent and Trademark Office:

- ☒ Copy of the Notice to File Missing Parts;
- ☒ Original Declaration, executed by the inventor(s);
- ☒ An original executed Power of Attorney from Assignee;
- ☒ Certificate Under 37 C.F.R. § 3.73(b) with copy of Assignment attached;
- ☒ Return postcard; and
- ☒ Our Check No. 281223 for \$2,076.00 to cover:

\$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)

\$1,236.00 Fee for excess claims (37 C.F.R. § 1.16)

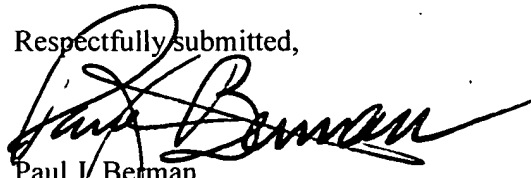
\$130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16).

It is respectfully requested that the attached postcard be stamped with the date of
filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740, referencing docket number 026859.102-US01. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 50-0740, referencing docket number 026859.102-US01. A duplicate copy of this Response is enclosed.

Date: June 25, 2001

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Paul J. Berman", written over the typed name.

Paul J. Berman

Reg. No. 36,744

COVINGTON & BURLING

1201 Pennsylvania Avenue, N.W.

Washington, D.C. 20004-2401

(202) 662-6000



PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="margin: 0; font-size: small;">Patent fees are subject to annual revision.</p>		Complete if Known																																																																																																																																																																																																			
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<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 50-0740</p> <p>Deposit Account Name: </p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"><thead><tr><th colspan="2">Large Entity</th><th colspan="2">Small Entity</th><th rowspan="2">Fee Description</th><th rowspan="2">Fee Paid</th></tr><tr><th>Fee Code</th><th>Fee (\$)</th><th>Fee Code</th><th>Fee (\$)</th></tr></thead><tbody><tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr><tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr><tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr><tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr><tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr><tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr><tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr><tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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109	80	209	40	** Reissue independent claims over original patent																																																																																																																																																																																																	
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																	
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**or number previously paid, if greater. For Reissues, see above																																																																																																																																																																																																					
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Name (print/type) Paul J. Berman		Registration No. (Attorney/Agent)	36,744																																																																																																																																																																																																		
Signature 		Telephone	(202) 662-6000																																																																																																																																																																																																		
		Date	June 25, 2001																																																																																																																																																																																																		



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Jeffrey R. Lange

Appl. No. 09/809,025

Filed: March 16, 2001

For: DIGITAL OPTIONS HAVING
DEMAND-BASED,
ADJUSTABLE RETURNS AND
TRADING EXCHANGE
THEREFOR

Art Unit: 2812

Examiner: Unassigned

Atty. Docket: 026859.102-US01

Request for Corrected Official Filing Receipt

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant hereby requests that a corrected Official Filing Receipt be issued and sent to the undersigned representative. Specifically, the following corrections to the Official Filing Receipt are requested:

Under the heading of Domestic Priority data as claimed by applicant, please amend the first priority application number to read as follows:

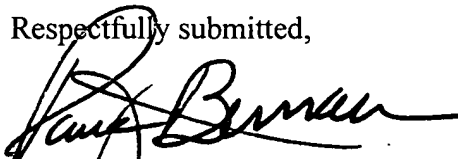
THIS APPLICATION IS A CIP OF 09/744,816, 07/18/2000.

In support of the above request, a photocopy of the instant Official Filing Receipt is enclosed with the corrections noted in red. It is therefore believed proper that a corrected Official Filing Receipt be issued, reflecting the correction of all the above-noted error. It is further requested that the corrected Official Filing Receipt be sent to the undersigned at the earliest possible time.

The U.S. Patent and Trademark Office is hereby authorized to charge the fee for correction, any fee deficiency, or credit any overpayment, to **Deposit Account No. 50-0740**, referencing docket number **026859.102-US01**.

Date: June 25, 2001

Respectfully submitted,



Paul J. Berman
Reg. No. 36,744

COVINGTON & BURLING
1201 Pennsylvania Avenue, N.W.
Washington, D.C. 20004-2401
(202) 662-6000

Enclosure



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/809,025	03/16/2001	2812	0.00	26859.102US01	18	22	18

CONFIRMATION NO. 5585

26853
COVINGTON & BURLING
ATTN: PATENT DOCKETING
1201 PENNSYLVANIA AVENUE, N.W.
WASHINGTON, DC 20004-2401

FILING RECEIPT



OC00000006104721

Date Mailed: 05/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jeffrey Lange, New York, NY;

Domestic Priority data as claimed by applicant

09/744,816 07/18/2000
THIS APPLICATION IS A CIP OF 09/774,816 01/31/2001*
WHICH IS A CIP OF 09/448,822 11/24/1999
WHICH CLAIMS BENEFIT OF 60/144,890 07/21/1999
(* Data inconsistent with PTO records.

Foreign Applications

PCT/US00/19447 07/18/2000

If Required, Foreign Filing License Granted 05/21/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Digital options having demand-based, adjustable returns, and trading exchange therefor

438

Date: 05/22/2001

1. The first part of the document is a list of names and titles, including "The Hon. Mr. Justice" and "The Hon. Mr. Justice".